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TRANSMITTAL FORM

Do not be used for all correspondence after initial filing

Total Number of Pages in This Submission 24

Application Number	09/828,477
Filing Date	April 5, 2001
Inventors	Davis et al.
Group Art Unit	2621
Examiner Name	To Be Assigned
Attorney Docket No.	027448.0011

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks:	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

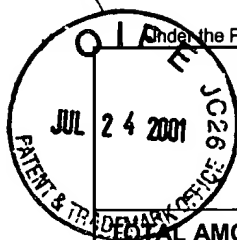
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	John H. D'Antico; Brobeck, Phleger & Harrison LLP
Signature	<i>John H. D'Antico</i>
Date	July 20, 2001

CERTIFICATE OF MAILING

Upon reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including any papers, letters, or fees referred to as being attached, enclosed, or otherwise affixed herewith, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.

Date	July 20, 2001
Typed or Printed Name	JOHN H. D'ANTICO
Signature	<i>John H. D'Antico</i>



FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT **\$586****Complete if Known**

Application Number	09/828,477
Filing Date	April 5, 2001
First Named Inventor	Dustin M. Davis
Examiner Name	To Be Assigned
Group Art Unit	2621
Attorney Docket No.	027448.0011

METHOD OF PAYMENT

- 1 ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$355

2. EXTRA CLAIM FEES

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Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, If not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**Or number previously paid, if greater: For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	65
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility Issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
SUBTOTAL (3)					\$105

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBMITTED BY			Complete (if applicable)	
Name (Print/Type)	John H. D'Antico	Registration No. (Attorney/Agent)	45,917	Telephone (512) 330-4000
Signature	<i>John H. D'Antico</i>	Date	July 20, 2001	

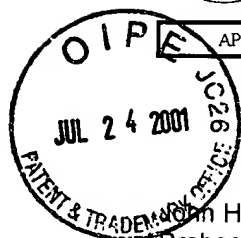
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/828,477	04/05/2001	Dustin M. Davis	027448.0011

CONFIRMATION NO. 6780

FORMALITIES LETTER



OC00000006153723

John H. D' Antico
Brobeck, Phleger & Harrison LLP
4801 Plaza on the Lake
Austin, TX 78746

Date Mailed: 06/06/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$126.
 - \$126 for 14 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 546.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

07/26/2001 RHARIS1 00000115 09828477

01 FC:201	355.00 OP
02 FC:203	126.00 OP
03 FC:205	65.00 OP

09828477 0274480011

A copy of this notice MUST be returned with the reply.

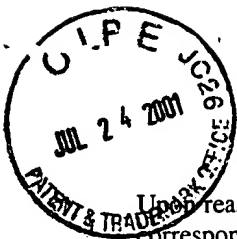


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

0962847.07401
FOI#2024082800



PATENT
027448.0011

On a reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including any papers, letters, or fees referred to as being attached, enclosed, or otherwise affixed herewith, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.

Name of Person Certifying Deposit: JOHN H. D'ANTICO

Signature of Person Certifying Deposit: John H. D'Antico

Date of Deposit: July 20, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application: 09/828,477
Filing Date: April 5, 2001
Inventors: Davis et al.
Title: Method and System for Mitigating Distortive Effects In Biometric Samples In A Biometric Verification System
Examiner: To Be Assigned
Art Unit: 2621
Attorney Docket: 027448.0011

SUBMISSION OF MISSING PARTS AND RELATED APPLICATION PAPERS

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

1. Documents Enclosed:

In response to the **NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**, which was mailed by the Patent Office on June 6, 2001, enclosed are the following:

- ☒ Part 2 of the Notice to File Missing Parts of Nonprovisional Application;
- ☒ Fee Transmittal Sheet for FY 2001;
- ☒ Transmittal Form;
- ☒ Declaration;

- ☒ Recordation Form Cover Sheet;
- ☒ Assignment;
- ☒ Grant of Power of Attorney;
- ☒ Verified Statement claiming Small Entity Status; and
- ☒ Substituted Formal Drawings in accordance with 37 CFR 1.84 (6 figures on 7 sheets).

2. REQUEST FOR EXTENSION OF TIME:

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply.

- ☐ Applicant(s) petitions for an extension of time under 37 CFR § 1.136 [fees: 37 CFR § 1.17(a)(1)-(5)] for the total number of months checked below:

	EXTENSION (months)	FEE FOR SMALL ENTITY	FEE FOR OTHER THAN SMALL ENTITY
<input type="checkbox"/>	one month	\$ 55	\$ 110
<input type="checkbox"/>	two month	\$ 195	\$ 390
<input type="checkbox"/>	three month	\$ 445	\$ 890
<input type="checkbox"/>	four month	\$ 695	\$ 1,390
<input type="checkbox"/>	five month	\$ 945	\$ 1,890

0082847-07240

3. FILING FEES:

BASIC FILING FEE:			\$ 710
Total Claims	34 - 20 = 14 x	\$ 18	\$ 252
Independent Claims	2 - 3 = 9 x	\$ 80	\$ 0
Multiple Dependent Claims	\$ 270 (if applicable)	<input type="checkbox"/>	\$ 0
Surcharge 37 CFR § 1.16(e)	\$ 130 (if applicable)	<input checked="" type="checkbox"/>	\$ 130
TOTAL OF ABOVE CALCULATIONS:			\$ 1,092
Reduction by 1/2 for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28. If applicable, Verified Statement must be attached.			
		<input checked="" type="checkbox"/>	\$ 546
Extension of Time	(from above) (if applicable)	<input type="checkbox"/>	\$ 0
Assignment—\$40	(if applicable)	<input checked="" type="checkbox"/>	\$ 40
TOTAL FEES SUBMITTED HEREWITH:			\$ 586

4. METHOD OF PAYMENT OF FEES:

- ☒ Check in the total amount of \$ 586 is enclosed to cover the above fee(s).
☐ Charge Deposit Account No. **50-1273** in the amount of \$0.
☒ The Commissioner is authorized to charge Counsel's Deposit Account No. **50-1273** for any fees required under 37 CFR 1.16, 1.17 and 1.445 that are not covered, in whole or in part, by a check enclosed herewith and to credit any overpayments to said Deposit Account **50-1273**.

Respectfully submitted,

BROBECK, PHLEGER & HARRISON LLP

Dated: July 20, 2001

By: John H. D'Antico
 John H. D'Antico
 Reg. No. 45,917

BROBECK, PHLEGER & HARRISON LLP
 4801 Plaza on the Lake
 Austin, TX 78746
 Telephone: (512) 330-4000
 Facsimile: (512) 330-4001